An aerial photograph of the Baltimore City waterfront at sunset. The sky is a mix of orange, pink, and blue. In the foreground, a large marina with many wooden docks is filled with various boats, including sailboats and motor yachts. The water reflects the colors of the sky. In the background, the city skyline is visible, with several prominent buildings and a bridge crossing the water. The text of the handbook title is overlaid on a light blue rectangular area in the upper left portion of the image.

# **BALTIMORE CITY OFFICE OF THE INSPECTOR GENERAL**

## ADVISORY BOARD HANDBOOK

APRIL 2023



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# MESSAGE FROM THE INSPECTOR GENERAL

Dear OIG Advisory Board,

Thank you for agreeing to serve on this vital Board. Your seat on this Board was made possible by the voters of Baltimore City when 86% of those voters cast a ballot to change the original makeup of the Advisory Board to this Baltimore City citizen-based one.

The OIG had over 55 citizens apply to serve on this Board. In the end, the Chairman of the Board of Ethics selected your name, and now you are among the first to serve.

The Advisory Board has three functions per the Charter of Baltimore City. First, the Advisory Board will review the OIG proposed budget and submit the budget to the Board of Estimates. Second, the Advisory Board reviews the performance of the Inspector General once a year.

The final task only occurs when the Inspector General leaves Office and it is this Board's responsibility to select the next Inspector General of Baltimore City. Please know that the Mayor must provide this Board with the resources necessary to complete all of its responsibilities by Charter.

I sincerely hope you enjoy your term on this Board. The Office of the Inspector General is the independent watchdog looking after financial fraud, waste, and abuse within the City government and those who contract with the government. The objective of this Office is to find the facts without political influence. This Office hopes you move forward with transparency and always in the best interest of the Citizens of Baltimore.

With sincere gratitude,

A handwritten signature in cursive script that reads "Isabel Mercedes Cumming". The signature is written in black ink and has a fluid, connected style.

Isabel Mercedes Cumming Inspector General



# MISSION

The mission of the Office of Inspector General (OIG) is to promote accountability, efficiency, and integrity in City government. The OIG's goal is to promote trust in government among the citizens of Baltimore by providing independent oversight and promoting accountability, efficiency, and integrity in the City government by identifying financial waste, fraud, and abuse. This, in turn, promotes public trust in the City government. Citizens have the right to expect effective and honest City leadership – virtues that are best fostered when the government polices itself and initiates improvements in operational efficiency. The OIG contributes to these objectives through impartial and independent investigations.

# VISION

To promote a high level of integrity in City government by conducting professional, fair, and unbiased fraud, waste, and abuse investigations, and, whenever possible, holding those who violate the public trust accountable.

# CODE

Our duty is to pursue the truth with an objective mind, without prejudice, and regardless of politics.

# VALUES

- Integrity and independence
- Conduct independent work without bias or undue influence
- Abide by the highest ethical standards
- Excellence by achieving the highest quality in everything we do
- Be relevant, impactful, and innovative
- Collaboration and teamwork
- Foster an environment that maximizes productivity, innovation, excellence, and employee satisfaction
- Work collaboratively, both internally, and externally
- Promote leadership, vision, and expertise
- Adaptability by embracing improvement learning and flexibility to address changing priorities

# **BALTIMORE CITY**

## **OFFICE OF THE INSPECTOR GENERAL**

### **ADVISORY BOARD**

#### **PURPOSE**

In May 2022, a Resolution was introduced to the Baltimore City Council for the purpose of altering the method by which individuals are selected to be members of the advisory board that appoints the Inspector General. At that time, the Advisory Board was composed of elected officials or their designees, the City Solicitor, and two law school deans. Its primary purpose was to remove potential conflicts of interest given the jurisdiction of the Office of the Inspector General.

The Resolution would require the new makeup of the Board to eliminate all current elected officials or City employees from the Board. The new Board would continue to have the two Law School Deans as well as seven Baltimore City residents from 7 of the 14 City Districts. In addition, the new Board would have a Certified Fraud Examiner and a Certified Public Accountant from the residents of Baltimore City.

#### **ROLE**

Appoint an Inspector General without regard to political affiliation with substantial experience in law, auditing, financial analysis, criminal justice law, management analysis, accounting, and investigations, or another appropriate field.

Approve or Revise the proposed budget submitted by the Inspector General for the purpose of assessing and determining whether the proposed budget provides sufficient funding to meet the duties of the Office.

Review the performance of the Inspector General at least once annually and appear before the City Council at least once a year to provide the City Council with an overview of the activities of the advisory board and the Office of the Inspector General.

Remove the Inspector General from office by an affirmative vote of a majority of the members of the advisory board for misconduct in office, persistent failure to perform the duties of the office, or conduct prejudicial to the proper administration of justice.

Whenever the Office of the Inspector General remains vacant for 180 days, or the Inspector General is incapacitated or otherwise unable to perform the duties of the office for 180 days, the Chair of the advisory board shall issue a report to the City Council on the 180th day, and every 2 months thereafter until the vacancy is filled or the Inspector General reports to work, describing the status of the efforts to fill the vacancy or the status of the absent Inspector General.

## MEMBERSHIP

The Advisory Board is to be comprised of 11 members.

- Seven members are residents of Baltimore City and reside in seven different districts
- Certified Public Accountant residing in Baltimore City
- Certified Fraud Examiner residing in Baltimore City
- Dean of the University of Baltimore School of Law
- Dean of the University of Maryland School of Law

## QUALIFICATIONS

An individual is qualified to serve as a member of the Advisory Board if the individual:

- (1) is a Baltimore City resident;
- (2) is over the age of 21 years old;
- (3) has never been convicted of an offense under Section 16-201(a)(5) or (6) of the State Election Law Article; and
- (4) has a background in, or familiarity with, ethics, law, program or performance evaluation, accounting or has a familiarity with the Office of the Inspector General and the duties of the Office.

## ELIGIBILITY

In addition to the required qualifications, an applicant is not eligible for appointment to the advisory board if the individual:

- (1) is or becomes an employee or elected officer of:
  - (i) the State of Maryland;
  - (ii) the City of Baltimore;
  - (iii) any State or City agency, instrumentality, or any other unit of a State entity except:
    - (A) a State college;
    - (B) a State university; or
    - (C) another institution of higher education;
- (2) is or becomes a candidate for elected public office of:
  - (i) the State of Maryland;
  - (ii) the City of Baltimore; or
  - (iii) any county or municipality of the State.
- (3) is or becomes an elected municipal officer's:
  - (i) spouse;
  - (ii) parent;
  - (iii) child; or
  - (iv) sibling;
- (4) is or becomes a responsible officer, as defined in Section 1-101(mm) of the State Election Law Article;
- (5) is or becomes employed by the City of Baltimore or the State of Maryland in any capacity;
- (6) is or becomes a lobbyist under:
  - (i) the State General Provisions Article, Title 5 {"Maryland Public Ethics Law"};
  - (ii) Article 8, Subtitle 8 {"Lobbying"} of the City Code;or
  - (iii) the ethics code of any political subdivision of the State; or
- (7) is or becomes associated with a business entity as described in Article 8, Section 6-6 {"Prohibited participation"} of the City Code.



# NOMINATION PROCESS

Seven of the 11 members of the Advisory Board must be randomly selected by the Chair of the Board of Ethics on the following basis:

- (i) 1 member from among the 2 nominees submitted from City Council districts 1 and 2;
- (ii) 1 member from among the 2 nominees submitted from City Council districts 3 and 4;
- (iii) 1 member from among the 2 nominees submitted from City Council districts 5 and 6;
- (iv) 1 member from among the 2 nominees submitted from City Council districts 7 and 8;
- (v) 1 member from among the 2 nominees submitted from City Council districts 9 and 10;
- (vi) 1 member from among the 2 nominees submitted from City Council Districts 11 and 12; and
- (vii) 1 member from among the 2 nominees submitted from City Council districts 13 and 14.

The remaining 4 members shall consist of:

- (i) 1 member of the Association of Certified Fraud Examiners, selected by the Board of Regents of the Association of Certified Fraud Examiners;
- (ii) 1 member of the Maryland Association of Certified Public Accountants, selected by the Board of Directors of the Maryland Association of Certified Public Accountants;
- (iii) the Dean of the University of Maryland School of Law or the Dean's designee; and
- (iv) the Dean of the University of Baltimore School of Law, or the Dean's designee

An individual who meets the qualification and eligibility requirements may submit an application to the Office of the Inspector General (OIG) for background and qualification check. The membership of the Advisory Board must be inclusive and reflect the racial and gender diversity of the City of Baltimore. The OIG then submits the names to the City Counsel member for review

Each member of the City Council must:

1. Review the applications received pursuant to paragraph (1) of this subsection; and
2. Select 1 applicant as the nominee to the advisory board from that member's district.
3. A member of the City Council must give reasonable consideration to the diversity of the member's district when selecting a nominee to the Advisory Board.

## Final Appointments

Final random selections to the Advisory Board must be made by the Chair of the Board of Ethics, pursuant to Article VII, Section 110 of the Baltimore City Charter.

## PROCEDURES

1. A quorum of the Advisory Board consists of 6 members.
2. The Advisory Board shall elect a chair from the membership of the Advisory Board.
3. An affirmative vote of at least 6 members shall be necessary to appoint an Inspector General.

## TERM OF MEMBERS

1. The terms of the members of the Advisory Board must be staggered and may not be coterminous with the Mayor's term of office.
2. Of the initial 11 appointments to the Advisory Board:
  - (i) the members appointed pursuant to paragraphs (2)(v), and (3) of Subsection (f) of Baltimore City Charter, Article X, must each serve a term of 3 years (considered a full term).
  - Member nominees from City Council districts 9 and 10.
  - The remaining members must each serve a term of 4 years
3. After the initial terms of the Advisory Board members have expired, a member of the advisory board shall serve a term of 4 years.
4. No member of the Advisory Board may serve more than 2 consecutive full terms.

## BOARD VACANCIES

The Chair of the Board of Ethics shall select at random a member from the nominations submitted at the outset of that particular position's term.

## REMOVAL OF ADVISORY BOARD MEMBER

A member of the Advisory Board may be removed for cause by a vote of the majority of the members of the Advisory Board.

## REQUIRED TRAINING

Prior to beginning their duties, the members of the Advisory Board shall attend a training session provided by the Office of the Inspector General, that details:

- (1) the rules governing the Advisory Board; and
- (2) the rules governing and duties of the Inspector General.

## OTHER RECOMMENDED OFFICERS (OPTIONAL)

### Vice - Chairperson:

The skills and responsibilities of the vice chairperson are identical to those of the chairperson. The vice chairperson takes charge when the chairperson is absent or cannot serve.

### Secretary:

The secretary works with a designated college representative to record meeting minutes and assists the chairperson with other Advisory Board tasks.

Responsibilities of the secretary should include:

- Take minutes at meetings; prepare and distribute minutes.
- Distribute agendas, announcements, minutes, and other information to members.

### Minutes of Meetings:

Minutes must be maintained of Advisory Board's activities and made available before the start of each meeting. The purpose is to keep individuals and groups informed about the Board's concerns, decisions, and activities. Minutes should be accurate, thorough, prompt, continuous, and uniform in style. It is suggested that minutes be no more than a page in length.

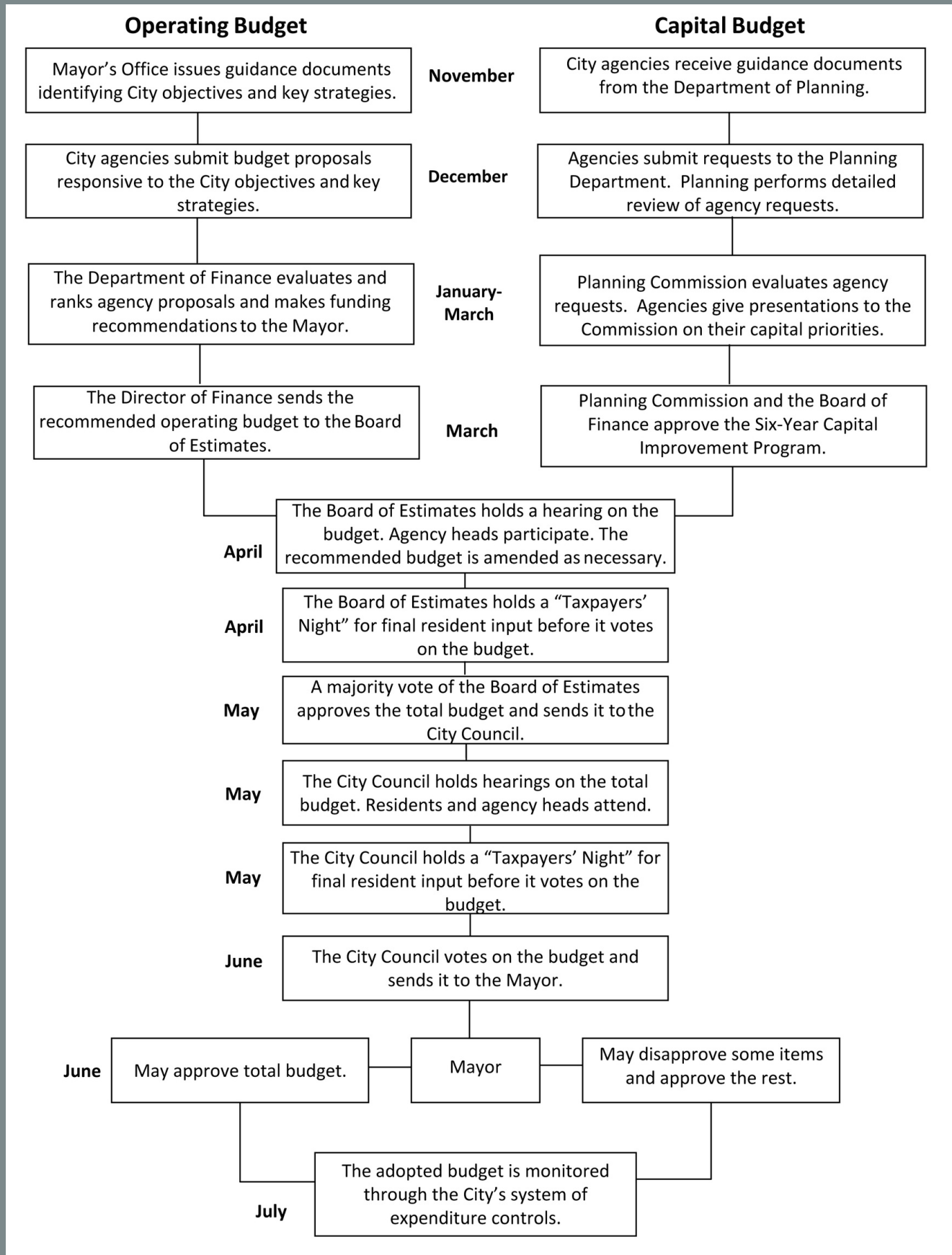


# OIG ADVISORY BOARD and the OIG BUDGET PROCESS

The Inspector General shall formulate and prepare annually, a proposed budget to fund the operations of the Office and shall transmit the proposed budget to the advisory board for its review every November.

1. The Advisory Board shall meet to review the proposed budget submitted by the Inspector General for the purpose of assessing and determining whether, in the judgment of the Advisory Board, the proposed budget provides sufficient funding to meet the duties of the Office.
2. The Advisory Board shall, by an affirmative vote of at least 6 of its members, either:
  - (i) approve the proposed budget as submitted; or
  - (ii) revise the proposed budget if the Advisory Board disagrees with the substance of any item contained in the proposed budget, including estimates of need and amounts of requested funding.
3. The Advisory Board, on behalf of the Office of the Inspector General, shall submit the recommended budget to the Board of Estimates in a timely manner in order for the recommended budget to be considered for inclusion in the Ordinance of Estimates.

# BALTIMORE CITY BUDGET PROCESS TIMELINE



# BALTIMORE CITY

## OFFICE OF THE INSPECTOR GENERAL

The Baltimore City Office of the Inspector General (OIG) was created in July of 2005 through Mayoral Executive Order by former Mayor Martin O'Malley with the goal of increasing government accountability. OIGs are intended to serve as independent and objective units that are free from political influence. However, the Executive Order did not make the Baltimore City OIG an Independent unit. The 2005 Executive Order placed the OIG under the authority of the Office of the Mayor.

It was not until 2018 that a bill was introduced to establish OIG Independence. The OIG currently operates as an independent agency executing the mission mandated by the City Charter.

### ROLES AND RESPONSIBILITIES

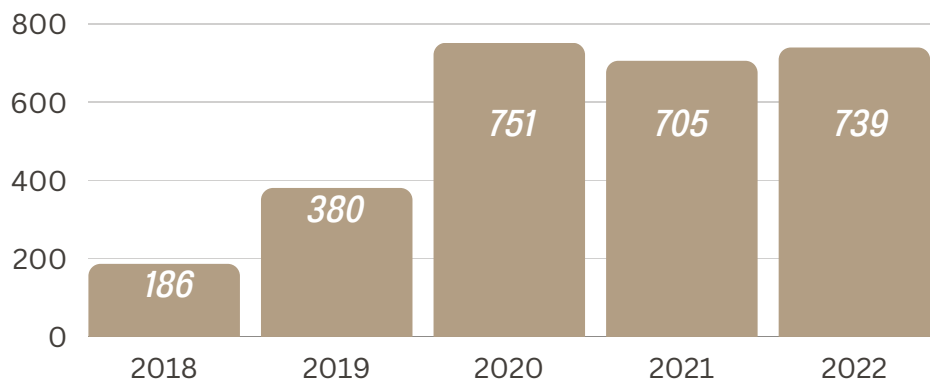
1. Investigate allegations that involve City government and potential violations of laws or regulations by any:
  - (i) City elected official;
  - (ii) City employee;
  - (iii) member of a board or commission established or governed by the City Charter, City Code, or an executive order issued by the Mayor;
  - (iv) City contractor or person negotiating a contract with the City;
  - (v) a person seeking certification to provide goods or services to the City; or
  - (vi) external recipient of City funds, benefits, or services.
2. The Inspector General serves as the Executive Director of the Ethics Board, in accordance to City Code, Art. 8, Subtitle 3, and assists the Board in performing its important responsibilities, including:
  - Overseeing the annual financial disclosure process required of City officials and employees;
  - Providing advisory opinions and other guidance on compliance with the Ethics Law;
  - Enforcing the Ethics Law, including investigating ethics-related complaints;
  - Training City officials on the Ethics Law, Promoting public awareness of the Ethics Law; and
  - Receiving and reviewing lobbyist registrations and activity reports
3. Investigate claims made under the City's Whistleblower Rights and Responsibilities Act, City Code, Art. I, Subtitle 8, which prohibits supervisors from taking retaliatory personnel actions against City employees who make "covered disclosures" about the actions of City government, meaning reports of fraud, gross misuse or waste of public resources, violations of law, or substantial and specific threats to health, safety, or security.
4. Prepare and publish an Annual Report.

# OIG INVESTIGATIONS

The OIG follows the standards set forth by the Association of Inspector General's Green Book, which outlines the Principles and Standards for an Office of Inspector General. With that, the OIG Hotline Administrator takes an impact-oriented approach to prioritize the numerous complaints that come into the OIG hotline.

All complaints are carefully vetted to ensure they fall within the authority of the OIG's mandate of rooting out fraud, waste, and abuse of the City's financial resources. Complaints made to the OIG hotline often involve issues related to Human Resources, such as personnel matters, employment-related decisions, or discrimination. The OIG does not usually investigate such claims unless the claims involve financial matters.

**HOTLINE COMPLAINTS  
2018-2022**



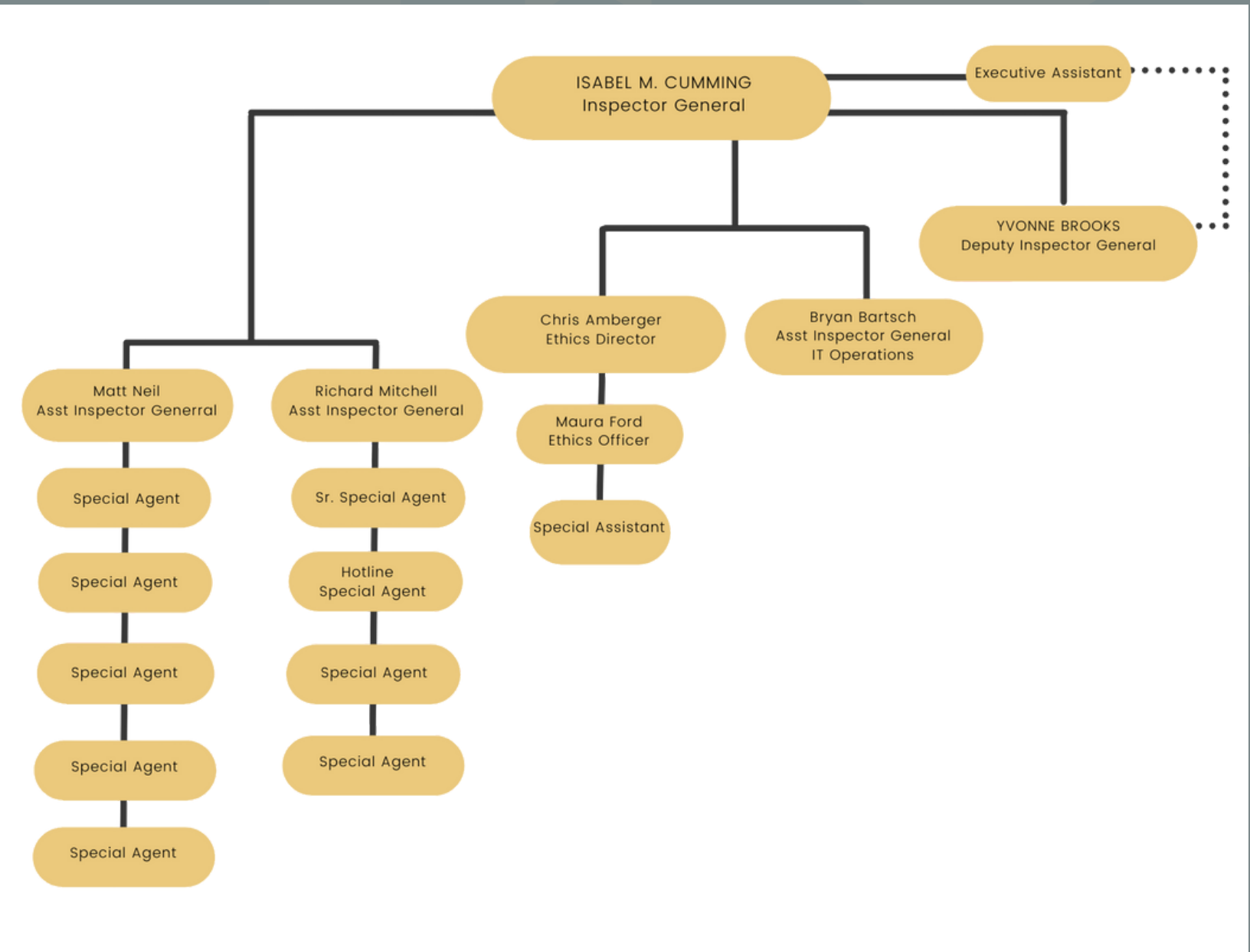
For those complaints that do not fall within the authority of the OIG, the complainant will be informed as to why. Some complaints may be appropriate for referral to another City agency to address. OIG will only refer to these complaints with the permission of the complainant. The confidentiality of all complainants is of utmost importance to the OIG.

Once a complaint has been identified for investigation, it is assigned to an OIG Special Agent. Investigations are resolved strictly based on the facts uncovered during the process. Once the investigation is resolved, a report is written and provided to the Mayor and relevant Agency Directors.

Although OIG is an investigatory agency, this office does not carry law enforcement accreditation and thus has no power of arrest. While most OIG investigations are administrative, OIG conducts criminal investigations with our law enforcement partners when appropriate. OIG has partnerships with the Baltimore City Police Department, Office of the State Prosecutor, Baltimore City State's Attorney's Office, Housing and Urban Development OIG, Federal Bureau of Investigation, and the Internal Revenue Service.



# Office of the Inspector General Organizational Chart



# MEASURING PERFORMANCE

The OIG measures its performance by tracking specific data that reflect effectiveness, output, and outcome during the City's fiscal year. Fiscal Years runs from July 1, 20XX, through June 30, 20XX. Every year during the budget process, the OIG must report its performance based upon the metrics below.

1. The number of criminal, civil, or administrative actions reflects the number of reports produced by our investigators.

OIG investigations can take anywhere from one month to more than a year to complete. This data reflects all investigations that are closed, resulting in a final Report of Investigation, Management Alert, or Review.

2. The number of OIG outreach activities conducted to educate and inform City employees, contractors, fund recipients, and citizens on fraud.

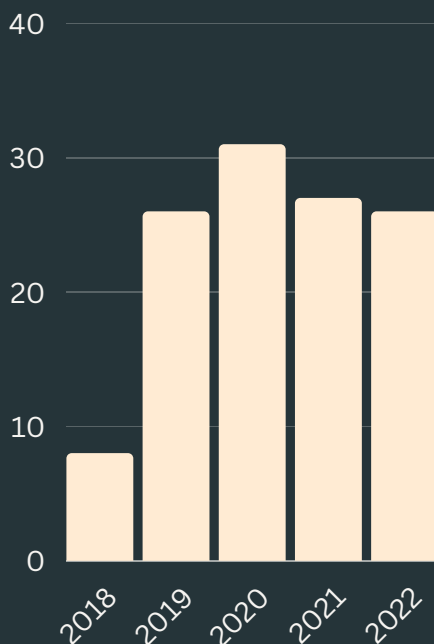
We engage in outreach activities such as presenting the OIG mission during employee orientations and training, as well as meeting with community leaders. The more employees, citizens, and taxpayers are aware of what we do, the more eyes and ears we have on the ground. Most of our investigations are developed from tips received from employees, citizens, and taxpayers.

3. The amount of identified annual waste and savings.

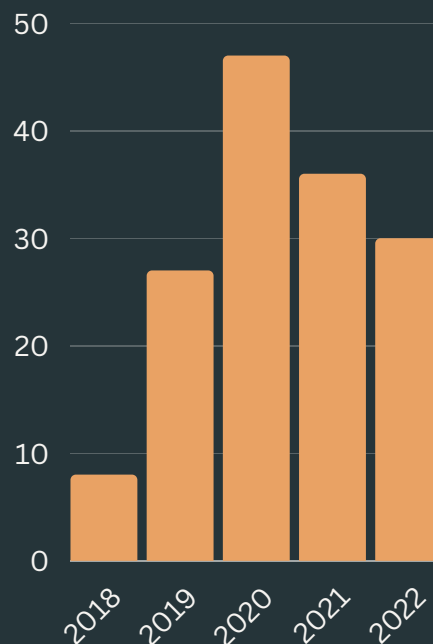
It is incredibly important that our investigations show City leaders, stakeholders and citizens the amount of money wasted or saved as a result of an investigation.

Identifying waste and savings encourages better fiscal management through new legislation and/or updated policies and procedures.

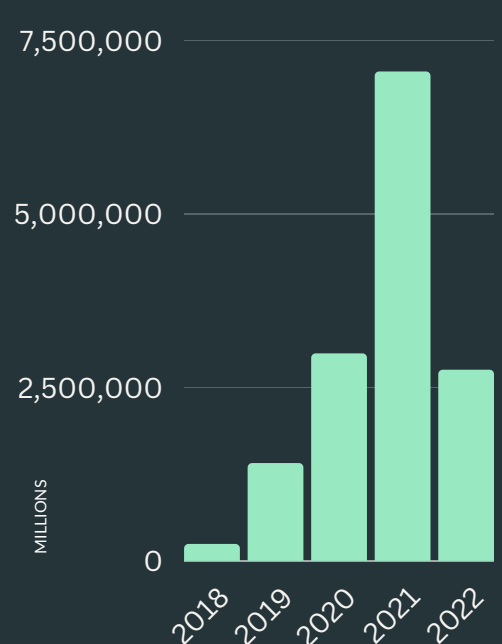
## OUTREACH ACTIVITIES



## REPORTS



## SAVINGS AND WASTE



# ADVISORY BOARD RESOURCES

## Baltimore City Law Department

Hilary Ruley, Chief Solicitor

Advice and Opinions Practice Group

Phone: 410-396-3271

Email: Hilary.Ruley@baltimorecity.gov

## Bureau of the Budget and Management Research

Budget Process

[bbmr.baltimorecity.gov/budget-process](http://bbmr.baltimorecity.gov/budget-process)

## Legislative Reference

Baltimore City Codes and Charter

[legislative.baltimorecity.gov/city-codes](http://legislative.baltimorecity.gov/city-codes)

## Baltimore City Charter

[https://legislative.baltimorecity.gov/sites/default/files/01%20-%20Charter%20\(rev%20%2008DEC22\).pdf](https://legislative.baltimorecity.gov/sites/default/files/01%20-%20Charter%20(rev%20%2008DEC22).pdf)

- *Office of the Inspector General, Article X*
- *Board of Ethics, Article VII §105-110*

## Baltimore City Code

[legislative.baltimorecity.gov/sites/default/files/Art%2001%20-%20MayorCouncil%20\(rev%202022.08.20\).pdf](http://legislative.baltimorecity.gov/sites/default/files/Art%2001%20-%20MayorCouncil%20(rev%202022.08.20).pdf)

- ***Meetings of Boards and Commissions***  
Baltimore City Code, Subtitle 6
- ***Ethics***  
Baltimore City Code, Article 8
- ***Whistleblower Rights and Responsibilities***  
Baltimore City Code, Subtitle 8

## Association of Inspectors General

*Green Book*

[inspectorsgeneral.org/files/2014/11/AIG-Principles-and-Standards-May-2014-Revision-2.pdf](http://inspectorsgeneral.org/files/2014/11/AIG-Principles-and-Standards-May-2014-Revision-2.pdf)

## Robert's Rules of Order

- Committees and Boards  
<http://www.rulesonline.com/rror-09.htm>
- The Officers and the Minutes  
<http://www.rulesonline.com/rror-10.htm>

# CONTACT US



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Baltimore City Office  
of the  
Inspector General

The office for the  
**PEOPLE**